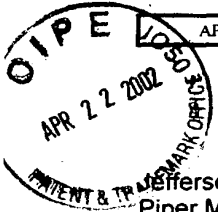




UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov



APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/091,046	03/05/2002	Peng Chen	P6340 (301101-000009)

CONFIRMATION NO. 6492

FORMALITIES LETTER



\*OC000000007733142\*

Jefferson Perkins  
Piper Marbury Rudnick & Wolfe  
P.O. Box 64807  
Chicago, IL 60440-0807

COPY OF PAPERS  
ORIGINALLY FILED

Date Mailed: 03/28/2002

NOTICE TO FILE CORRECTED APPLICATION PAPERS

*Filing Date Granted*

This application has been accorded an Application Number and Filing Date. The application, however, is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given **TWO MONTHS** from the date of this Notice within which to correct the informalities indicated below. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a)

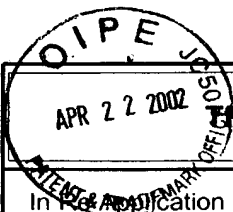
The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);
  - drawings submitted to the Office are not electronically reproducible. Drawing sheets must be submitted on paper which is flexible, strong, white, smooth, non-shiny, and durable (see 37 CFR 1.84(e));

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



100343.0046 . 00462202

**TRANSMITTAL OF FORMAL DRAWINGS**

Docket No.  
**P6340 (301101-000009)**

In Re Application Of: **CHEN et al.**

Serial No.	Filing Date	Batch No.	Examiner	Art Unit
10/091,046	03/05/2002		UNKNOWN	2161

Invention: **AUTOMATICALLY ALLOCATING AND REBALANCING DISCRETIONARY PORTFOLIOS**

**COPY OF PAPERS  
ORIGINALLY FILED**

Address to  
**Assistant Commissioner for Patents  
Washington, D.C. 20231**

Transmitted herewith are:

7 sheets of formal drawing(s) for this application.

Each sheet of drawing indicates the identifying indicia suggested in 37 CFR Section 1.84(c) on the reverse side of the drawing.

  
Signature

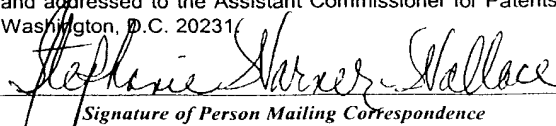
**Jefferson Perkins  
Reg. No. 31,407**

**Piper Rudnick  
P.O. Box 64807  
Chicago, IL 60440-0807**

**(312) 368-4000**

Dated: 9 April 2002

I certify that this document and attached formal drawings are being deposited on April 9, 2002 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

  
Signature of Person Mailing Correspondence

**Stephanie Warner-Wallace**

Typed or Printed Name of Person Mailing Correspondence

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Attorney Docket No: P6340 (301101-000009)

THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Chen et al.

Serial No.: 10/091,046

Filing Date: March 5, 2002

Title: AUTOMATICALLY  
ALLOCATING AND  
REBALANCING  
DISCRETIONARY PORTFOLIOS

Confirmation No.: 6492

Group Art Unit: 2161

Examiner: Unassigned

I hereby certify that this paper or fee is being deposited with the  
United States Postal Service as first class mail in an envelope  
addressed to Assistant Commissioner for Patents, Washington,  
D.C. 20231, on

April 9, 2002  
(Date)

Stephanie Warner-Wallace

(Typed or printed name of person mailing paper or fee)

Stephanie Warner-Wallace  
(Signature of person mailing paper or fee)

**RESPONSE TO NOTICE TO FILE CORRECTED APPLICATION  
PAPERS - FILING DATE GRANTED**

Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Transmitted herewith in response to the Notice to File Corrected Application Papers dated  
March 28, 2002 are the following documents:

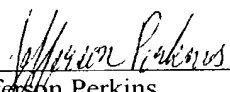
1. 7 Sheets of Substitute Drawings;
2. Transmittal of Formal Drawings;
3. Return copy of the Notice to File Corrected Application Papers; and
4. Return postcard acknowledging receipt.

Applicants: Chen et al.  
Serial No.: 10/091,046  
Page 2

The applicants believe no fee is due at this time.

The Commissioner is hereby authorized to charge any deficiency or credit any overpayments regarding this paper to Deposit Account No. 18-2284 of Piper Marbury Rudnick & Wolfe. This sheet is transmitted in duplicate.

Respectfully submitted,

  
\_\_\_\_\_  
Jefferson Perkins  
Reg. No. 31,407

**PIPER RUDNICK**  
P.O. Box 64807  
Chicago, Illinois 60664-0807  
(312) 368-4000

